

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

4630.11

3/10/92

ADP EQUIPMENT INVENTORY SYSTEM - AIRCRAFT CERTIFICATION SERVICE

SUBJ:

1. PURPOSE. This order establishes procedures for auditing, implementing, and maintaining an inventory system for automated data processing (ADP) hardware and software purchased by or for the use of personnel within the Aircraft Certification Service (AIR) headquarters. The Planning and Program Management Division, Automated Systems Branch (AIR-520) has been designated responsible for the design, implementation, and management of a complete inventory process for AIR headquarters. The guidance discussed here will help us maintain better inventory and support of our AIR computer software and hardware and give us a solid base for planning future automation efforts. In addition, it will guard against computer "viruses" (destructive software programs whose sources are often illegal copies of software programs) that could damage computer data important to AIR initiatives.
2. DISTRIBUTION. This order is distributed to the branch levels within the Washington headquarters Aircraft Certification Service.
3. BACKGROUND. Within AIR, given the volume of installed ADP equipment and the dollar value of that equipment and the software currently used by our personnel, it has become imperative that an inventory system be developed and efficiently managed and maintained as part of the waste, fraud, and abuse program. AIR-520 has been designated responsible for the management of a complete inventory process. This process will include the recording and monitoring of location and serial numbers of personal computer systems, ancillary equipment, and software packages for AIR headquarters. Reports generated from this system will be used as aids in the planning process for future procurements and as part of the justification for procurement of replacement equipment and software upgrades.
4. ACTION.
 - a. An inventory system is being developed by AIR-520 and is to be implemented and maintained by AIR-520. The locations of all existing hardware and software and any new equipment and software ordered by or for the use of headquarters AIR personnel will be included in the inventory system.
 - b. Personnel in AIR headquarters who are involved in the acquisition of new (ADP) systems; replacing, maintaining, and/or excessing existing ADP systems; procuring, installing, and/or maintaining software shall take action in accordance with the procedures described herein.
5. INVENTORY AUDIT/REVIEW.
 - a. Periodic reviews will be performed by AIR-520 of all hardware configurations and software loaded on personal computers within the AIR

headquarters divisions. FAA Forms 4650-11, Memorandum Receipt, (appendix 2) and 4650-2, Property Transaction Document, (appendix 3) will be used to document the serial numbers of items entrusted to individuals and property transactions. These forms are used throughout the FAA for property management activities. The purpose of these reviews shall be to verify location of hardware components and legality and appropriateness of installed software and for updating the inventory system maintained by AIR-520. During the audit process, the legality of software shall be contingent on possession of a software license. In cases where no licenses exist and documentation is not available, software shall be considered illegally installed and may be deleted. The appropriateness of the software is determined by applicability to the employee's assigned responsibilities as designated by his/her supervisor.

b. Hardware ordered via the Office Automation Technology Service (OATS) contract systems may include "factory-loaded" software. Records of delivery of OATS equipment and software will be kept by AIR-520, and records indicating factory-loaded software licenses for OATS equipment shall also be maintained by AIR-520.

c. Periodic on-site spot reviews of configurations will be conducted by AIR-520 personnel, and they shall document any occurrence of deviations from the known assignments of hardware and software. AIR-520 personnel shall be empowered to remove (delete) any software not covered by the inventory list or otherwise approved after notifying the responsible manager. If you have any questions regarding this guidance, please contact the Manager, Automated Systems Branch, AIR-520.

6. PROCEDURES.

a. An initial review of existing configurations, verification of initial receipt of specific hardware configurations and existing (preloaded) software will be conducted by AIR-520 personnel.

b. An automated database will be established and maintained by AIR-520 personnel. The database contains the following information for existing hardware and software: Item, model, manufacturer, serial number, user/contact point, room number, office, warranty expiration date, and maintenance contract expiration date where applicable.

c. The information in the database and periodic reviews will be used to support AIR's effort in preventing waste, fraud, and abuse. The inventory will also be used to assess the need for additional ADP equipment and software. Personnel within AIR will be given a list of their individual inventory which they will be asked to review. Each individual will be asked to verify his/her possession of the listed software and hardware and to note any changes on the printed inventory. The annotated list should then be returned to AIR-520. The annotated listings will be used to update the database. Once a printed listing is found to be complete and accurate by an individual, a final FAA Form 4650-11 shall be generated listing all hardware and software considered to be the responsibility of that particular employee along with a written statement of responsibility. That employee will

be given the original and a copy of that list/statement (to indicate that the configuration is accurately inventoried). He/she should then sign and return the original list/statement to AIR-520 and should keep a copy of the list/statement for the employee's own records.

d. Upon receipt of new software or hardware, individuals will be asked to annotate their listing of equipment using the FAA Form 4650-2 and to forward that list to AIR-520. The database will then be updated.

e. The AIR-520 will provide hardware and software listings by individual, branch, or division, upon request of that individual or organization.

f. When an employee leaves AIR headquarters, the employee's manager should notify AIR-520 that the previously assigned equipment is available for reassignment to another employee, or that the equipment will be assigned to the person selected to fill that particular position. In cases where software is reassigned or hardware is reissued to a different employee, AIR-520 should be notified in writing concerning the activity. AIR-520 will then generate a new listing of equipment for the new employee, for signature and acceptance of responsibility for the configuration.

7. RESPONSIBILITIES.

a. AIR-520 personnel shall be responsible for the design, maintenance, and implementation of an inventory system for automated data processing hardware and software purchased for the use of personnel within AIR headquarters. AIR-520 personnel shall implement the procedures defined herein for auditing and maintaining that inventory system.

b. An attempt will be made to combine the inventory information maintained by the directorate's Information Systems Focal Points (ISFP) with the headquarters information in a central inventory system which shall be maintained in headquarters. Until such time as this can be achieved, the directorates are responsible for maintaining their own inventory per applicable agency and department directives, policies, and procedures.

c. Managers shall discourage unauthorized installation of copied software and the illegal copying of authorized software (where an adequate number of licenses do not exist or site licenses have not been purchased).

d. As with software, hardware also falls under certain policies. Computer hardware purchased with Federal funds and used to facilitate a Federal employee's work will not be supported if any non-FAA standard alterations or additions are made to that hardware (alterations not approved by Information Resource Manager). It is against Government regulations to use Government-purchased computer hardware for personal use and managers shall discourage this practice.

8. INFORMATION CURRENCY. Any deficiencies found, clarifications needed, or improvements to be suggested regarding the content of this order should be forwarded to the Aircraft Certification Service, Administrative Management

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Branch, AIR-530, Attention: Directive Management Officer, for consideration. Form 1320-19, Directive Feedback Information, is located on the last page of this order for your convenience. If an interpretation is urgently needed, you may call AIR-520 at FTS 267-9372 or (202) 267-9372, for guidance, but you should use the tear-out sheet as a follow-up to verbal conversation.



M.C. Beard

fa Director, Aircraft Certification Service

APPENDIX 1. SOFTWARE COPYRIGHT LAWS

Most software is covered by Federal copyright laws. Upon opening a purchased software program for the first time, you agree to abide by the copyright laws and the licensing agreements as printed in the software documentation.

Most software licensing agreements read as follows:

You MAY:


- a. Install the program on only **one** computer.
- b. Make one (1) copy of the program solely for backup purposes.
- c. Physically transfer the program from one computer to another, provided the software is used on only one computer at a time.

You MAY NOT:

- a. Use the program on more than one computer or workstation at a time.
- b. Modify, translate, decompile, reverse engineer, disassemble, create derivative works based on, or copy (except for the backup copy) the program or the accompanying documentation.
- c. Rent, transfer, or grant any rights in the program or accompanying documentation in any form to any person without the prior, written consent of the publisher. A licensing agreement is not a bill of sale. This means that the title and copyrights to the program, documentation, and any copy made by you remain with the publisher of the software. Failure to follow the terms of the licensing agreement or the Federal copyright laws can result in automatic termination of the license and can make other legal remedies available to the publisher. An exception to the licensing agreement is in a case where the FAA or Aircraft Certification Service has a "site license" to use a software program or where the program is a "network" version. A site license allows numerous copies to be made freely among a defined group and is usually negotiated with a publisher as to price and area of distribution. A network version of software usually allows that software program to be accessed by a defined number of users via a local area network (computers linked together for the sharing of data and hardware) and will come with its own license agreement.

The Aircraft Certification Service will adhere to the letter of the Federal copyright laws and software program licensing agreements. Any software program installations falling outside the letter of these policies (including games or other non-FAA standard, personal-use software installed on Government-purchased computers) will not be supported. It is against Government regulations for Federal employees to install personal-use software programs on Government-purchased computer hardware, and disciplinary actions can ensue for those not adhering to this policy.

APPENDIX 2. MEMORANDUM RECEIPT

MEMORANDUM RECEIPT		INSTRUCTIONS: SIGN AND RETURN TWO COPIES TO		M/R Number
				Date
Deliver To 	Name	Division or Branch	Location	
Received From		Authorization		
<p>Statement of Responsibility:</p> <p>I have received the item(s) listed below and accept personal responsibility for the property. As an employee of the Government to whom public property has been entrusted, I clearly understand that: (1) I am responsible for the proper custody, care, and safeguarding of the property whether in use or in storage; (2) I am authorized to use the property for official purposes only; (3) I will either return the property to the issuing officer when no longer required for the purpose intended, upon demand, transfer, or separation from the Government; (4) I am responsible for making good the loss or destruction of or damage to the property and may be held financially liable unless I can show to the satisfaction of the Survey Officer by "Report of Survey, FAA Form 4630-8" setting forth the circumstances of the case, that the loss, damage, or destruction of the property was not occasioned by any fault, abuse, or neglect of mine.</p>				
QUAN	ARTICLE AND SERIAL NUMBER	PROPERTY ID OR SERIAL NO	NEW OR FAIR VAL.	
<p>SIGNATURE OF USER _____ DATE OF ISSUE _____ SIGNATURE OF ISSUING OFFICER _____ DATE RETURNED _____</p>				

FAA Form 4650-11 (11-81)

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Appendix 3

APPENDIX 3. PROPERTY TRANSACTION DOCUMENTS

→ TO BE COMPLETED BY THE PROPERTY ACCOUNT- ABILITY OFFICER ALG-235	1 CUST AREA	2 FLD NO	3 RSN	4 VOUCHER NO	5 LEDGER	6 DATE	7 UNIT COST	8 REASON	9 ACTION
	(1-6)	(7-8)	(9-21)	(22-29)	(30-33)	(34-37)	(38-43)	(44-45)	(46)
	10 UNIT	11 MFG'R	12 SERIAL NO	13 YR. MFGD	14 TYPE STYLE	15 CAP	16 REPAIR COST	17 OTHER	18 CONTROL
	(48-50)	(51-56)	(57-66)	(67-68)	(69-71)	(72)	(73-77)	(78-79)	(80)
15. FIELD CHANGE				20. VOUCHER REFERENCE					

21 DESCRIPTION <i>Include serial no. if releasing property.</i>			
22 REQUESTED BY <i>Signature of Property Custodian.</i>	ROUTING SYMBOL	LOCATION	DATE
23 DELIVER TO PICKUP FROM <i>Name of employee.</i>			
24 RELEASED BY <i>Signature of Property Custodian.</i>			
25 RECEIVED BY <i>Signature</i>			

WA Form 4650-2 (4-74)
 SUPERSEDES PREVIOUS EDITION

PROPERTY TRANSACTION DOCUMENT



U.S. Department
of Transportation
**Federal Aviation
Administration**

Directive Feedback Information

Please submit any written comments or recommendations for improving this directive, or suggest new items or subjects to be added to it. Also, if you find an error, please tell us about it.

Subject: Order _____

To: Directive Management Officer, AIR-530

(Please check all appropriate line items)

☐ An error (procedural or typographical) has been noted in paragraph _____ on page _____.

☐ Recommend paragraph _____ on page _____ be changed as follows:
(attach separate sheet if necessary)

☐ In a future change to this directive, please include coverage on the following subject
(briefly describe what you want added):

☐ Other comments:

☐ I would like to discuss the above. Please contact me.

Submitted by: _____ Date: _____

FTS Telephone Number: _____ Routing Symbol: _____